

CALIFORNIA EDUCATION FACILITIES  
AUTHORITY

Philip Angelides, Chairman  
*CA State Treasurer*

# The Academic Assistance Program Overview and Instructions

Academic Assistance Program for Private  
Colleges and Universities to Expand  
Outreach Opportunities

915 Capitol Mall, Suite 590  
Sacramento, California 95814  
Phone: (916) 653-2872  
Fax: (916) 653-2179  
Website: [www.treasurer.ca.gov/cefa/cefa.htm](http://www.treasurer.ca.gov/cefa/cefa.htm)

**California Educational Facilities Authority  
Academic Assistance Program  
Overview & Instructions for Grant Application**

**TABLE OF CONTENTS**

**I. OVERVIEW AND INSTRUCTIONS FOR ACADEMIC ASSISTANCE GRANT PROGRAM APPLICATION**

Program Overview .....	1
Application Form .....	2
Submission Dates .....	2
Summary Information .....	2
Maximum Grant Requests .....	2
General Eligibility Requirements .....	3
Project Description .....	4
Project Readiness and Feasibility .....	5
Sources and Uses .....	6
Financial Capacity .....	6
Initial Allocation .....	7
Appeals .....	7
Final Allocation .....	7
Release of Grant Funds .....	8
Completion of Grant Funded Project .....	<del>108</del> 98
Recovery of Funds for Non-Performance .....	<del>108</del>
Unused/Remaining Grant Funds .....	<del>109</del>
<u>Approval of Grant Use Change .....</u>	<u>9</u>
Audits .....	<del>109</del>
Internet and E-Mail Communications .....	<del>109</del>
Grant Submission Directions .....	<del>110</del>

**II. DEFINITIONS**

Program Definitions .....	<del>12</del> 12
---------------------------	------------------

## **I. Overview and Instructions for Academic Assistance Grant Program Application**

### **Program Overview**

Pursuant to ~~the California Educational Facilities Authority Act~~ Chapter 1081, Statutes of 2002 (SB1624 – Romero), the California Educational Facilities Authority (CEFA) is authorized to administer the CEFA Academic Assistance Program, a one-time, \$2 million grant program for eligible academic assistance programs. The goal of this program is to assist students in preparing for higher education and college entrance, and to promote access and opportunities for all students.

#### **What Does the Act Require?**

The California Educational Facilities Authority Act requires CEFA to develop criteria and a process for the awarding of grants in consultation with representatives of private colleges, qualified schools and other appropriate parties. The criteria includes the following:

1. The extent to which a program provides academic assistance, guidance in college admissions, or expands postsecondary opportunities for low and very-low income students.
2. The extent to which an existing program has been successful, or the extent to which a new program is feasible, ready, and well structured.
3. The extent to which the program will serve areas not currently being served.
4. The extent of applicant's commitment to providing need-based financial assistance to its students and the extent to which the applicant has committed its own funds, or funds obtained from other sources, to the program.

Once grants are awarded, the Act requires funded programs to be implemented within a reasonable time, as determined by CEFA. CEFA is required to annually report to the Joint Legislative Budget Committee as to where the money was spent, the total amount of each grant, and the purpose for which each grant was awarded.

## **The Application**

### **Application Form**

The application consists of pages 1-9, with Attachments A – C. Applicants shall submit a complete application with corresponding Attachments, as necessary.

### **Submission Dates**

Applications will be accepted until \_\_\_\_\_.  
Each eligible applicant may apply only once.

### **Section A – Summary Information**

Please complete Section A of the application. It is particularly important to list a contact person familiar with the application in the event the Authority staff needs to contact you.

### **Maximum Grant Requests**

- The Authority will accept grant requests up to \$250,000 from eligible ~~applicants~~ private colleges, as defined. An applicant may ~~be a private college or a group of~~ include one or more private colleges.
- ~~The Authority will not award grant requests exceeding the actual expenditures~~ No grant may exceed the Maximum Grant or the Matching Amount, whichever is less, of the existing program or the proposed new program, except that this amount may be awarded in each of three years for a maximum of \$250,000

## **Section B – Applicant and Project Eligibility**

### **General Eligibility Requirements:**

- ◆ Qualified applicants are:

A private, non-profit college/university situated in the State of California.

Accredited by the Western Association of Schools & Colleges (“WASC”) or a similarly recognized organization that provides regional accreditation.

Not pervasively sectarian

Able to submit three years audited financials.

The focus of students to be served are from comprehensive schools that are located in low-income areas.

- ◆ Grant funds may be used to:

1. Provide academic assistance, such as academic enrichment or mentoring programs for low and very low-income students.
2. Provide guidance in college admissions for low and very low-income students
3. Expand postsecondary educational opportunities by informing students of the benefits of, and the requirements for, higher education, for low and very low-income students.

## Section C – Program Description

~~The Applicant will fully describe the program, including operations, history, goals and objectives, with supporting material if necessary.~~

➤ For this section, Applicants shall be awarded points based on how well would the grant funds:

- Enhance or develop the existing Eligible pProgram or develop ~~the projected the proposed Eligible p~~Program (~~40~~5 points).
- a. Inform students of the benefits of, and the requirements for, higher education, or  
b. Prepare students for college entrance, or  
c. Provide academic enrichment and/or mentoring.  
(Total ~~40~~5 points).
- ~~—Applicants that provide multiple Program services shall be eligible for additional points (10 points)~~
- Provide academic assistance services to low income students. Criteria may include the number of hours of service provided per student and the number of students served. (~~40~~5 points).
- Provide academic assistance services to very low income students. Criteria may include the number of hours of service provided per student and the number of students served. (~~40~~5 points).
- Provide academic assistance services in geographic areas that are not currently being served by similar programs. (~~40~~5 points).
- Provide services to Qualified Schools, taking into consideration whether schools being served are located in a Low Income Area, or Very Low Income Area, and whether, where applicable, the percentage of pupils who graduate from the school are eligible for admission to the California State University or the University of California is below the statewide average according to the most recent information from the California Postsecondary Education Commission. (~~40~~5 points)
- The Applicant will receive additional points to the extent the Applicant has committed its own funds, or funds obtained from other sources, to the eligible program. Criteria will include, but are not limited to, the level and scope of services given the College's size. (10 points)
- The Applicant will receive additional points to the extent of the Applicant's commitment to providing need-based financial assistance to

~~its~~ students who otherwise could not afford to attend the Applicant's institution. Criteria will include the level and scope of assistance in relation given to the Private College's size. (10 points)

- ~~The Applicant will receive points based on how well~~ Clearly states in the application the Eligible Program's goals and objectives and the method of assessment used to determine the effectiveness of the program. are stated ~~(10 points Required, but no points to be awarded).~~

## **Section D – Project Readiness and Feasibility**

- Applicants shall be awarded points based on demonstration of program readiness and feasibility for **new programs**:

- Timeline of program development, including the expected program starting date ~~(i.e. date services to students will begin)~~. (Required, but no points awarded)
- Budget projections for five years and budget assumptions. Feasibility study, if available. (Required, but no points awarded)
- Demonstration that the Private College can financially support the program for a minimum of five years, commencing with the fiscal year during which the grant is funded. (10 points)
- Demonstration that the program is ready to be implemented. (10 points)
- Demonstration that the program is well structured. Criteria may include 1) the adequacy of staffing for the type of program and the projected number of students to be served, 2) the experience and expertise of Program staff and management, 3) how well the College identifies needs of the students to be served and monitors their progress, 4) how well the program includes new and innovative ways to promote access and opportunities for all students. (20 points)
- Demonstration that the Private College has experience in administering a similar program (20 points). Up to 20 points may be awarded if Applicant can demonstrate they have had success in administering similar programs or have hired personnel that have been involved in successful programs administered at other colleges.

- Demonstration of ongoing feasibility for **existing programs**:

- Program starting date (~~i.e. date services to students began~~)
  - (Required, but no points to be awarded).
  - Demonstration that the program identifies student needs and how student progress is monitored. (30 points).
  - Demonstration that the program has a demonstrated record of success. Criteria may include improvement of student SAT scores, high school graduation rates, or college acceptance rates in the Qualified Schools it serves (30 points).
- If funding sources other than the CEFA Outreach Grant are required to fund the program, Applicant shall provide approval or commitment letter from the other funding sources, confirming that the funding is secured and available in accordance with the program timeline and budget **(20 points will be deducted if documentation is not provided).**

#### **Section E – Sources and Uses of Funds**

The applicant's available sources of funds and proposed uses of funds will be detailed in this section. No points are awarded for this section. Information is used to evaluate commitment of college and other sources of program funds.

- Applicants must detail all sources of funds needed for the next five years, including, internal assets or other funding sources. If program is or will be supported by other than an internal funding source. Please provide commitment letters for the support of the program.
- Applicants must detail how the funds will be used within the program.

#### **Section F – Financial Capacity**

In this section, the Authority staff will evaluate the applicant's financial stability. No points are awarded for this section, but an application may be rejected based on a lack of stability. Criteria may include profitability and strength of balance sheet.



## **Allocation Process**

### **Initial Allocation**

Staff will conduct a review of the application and will notify the applicant in writing of the recommendation.

### **Appeals**

- (a) Availability. An Applicant may file an appeal of the initial allocation. The grounds for any such appeal shall be limited to applicant eligibility or the proposed expense of the project. No applicant may appeal the Authority staff evaluation of another applicant's application.
- (b) Timing. The appeal shall be submitted in writing and must be received by the Authority not later than ten (10) calendar days following the transmittal date of the notification of initial allocation of each funding round.
- (c) Review. The Authority staff shall review the written appeal based upon the existing documentation submitted by the Applicant when the Application Form was filed and any other information the Authority staff requests of the Applicant. The Authority staff shall make a finding as to the merit of the appeal and shall notify the Applicant as to the decision no later than ten (10) calendar days after the receipt of an appeal. In the event that the Authority staff does not approve an appeal, the Applicant may further appeal to the Authority. Applicant shall notify the Executive Director in writing no later than ten (10) calendar days prior to the next scheduled Authority meeting that the applicant shall further appeal to the Authority. Any such appeal must be presented by the Applicant, in person, at the same meeting of the Authority where the Initial Allocations are considered for approval as Grants. Any decision made by the Authority shall be final.

### **Final Allocation**

When initial allocations have been finally determined, taking into account any appeals, if applicable, staff will recommend to the Authority the initial allocations for consideration and approval as final allocations at a regularly scheduled Authority meeting closest to sixty days from receipt of the original application. Final allocations approved by the Authority will be awarded as grants to recipients.

### **Release of Grant Funds**

No grant funds will be released until the following information has been provided to the satisfaction of staff:

1. Verification of all other funds, if needed, are in place to operate the program.
2. An executed Grant Agreement
3. Authority staff is satisfied program is ready to be implemented or use of funds for existing programs has been clearly outlined.

NOTE: Documentation provided for the release of grant funds shall clearly show that the grant award does not exceed the cost of the program.

### **Completion of Grant Funded Project**

The CEFA grant recipient shall certify to the Authority when all CEFA grant funds have been expended and provide supporting documentation.

1. Show how funds were expended in each fiscal year that grant funds were disbursed, including a statement of sources and uses of funds for the Program.
2. A final report on the status of the Program will be required at the end of the fiscal year following the final year that grant funds were expended.  
Information provided to the Authority shall include but is not limited to a) the number of students served by the program, b) the number of students who attended or will be attending a college or university.

If the recipient fails to expend grant funds as approved in thirty-six (36) months of Final Allocation, the Authority may require remedies, including forfeit and return of the Grant to the Authority. On a case-by-case basis, the Authority or the Authority staff may extend the project completion date for extraordinary or unavoidable delays where the grantee can demonstrate that it occurred through no fault of its own.

Documentation provided to establish the completion of a program should clearly show that the grant award did not exceed the cost of the program.

### **Recovery of Funds for Non-Performance**

If the Authority determines that grants were not used as approved, the Authority may require remedies, including a return of all grant funds.

### **Unused/Remaining Grant Funds**

Any grant funds which have been allocated, but are returned for any reason, will be allocated to the Applicant with the highest scoring evaluation among those Applicants not previously receiving a grant allocation.

In the event there are any remaining funds after the Authority's approval of Final Allocations of all eligible Private Colleges or by the date June 30, xxxx, whichever is later, the Authority may, in its sole discretion, may award grants of those remaining funds to Applicants in a manner that is consistent with the purpose and spirit of the Act and this Chapter.

### **Approval of Grant Use Change**

The Authority or the Authority staff, as appropriate, may, on a case by case basis, consider a change in the use of the Grant if the Applicant demonstrates, to the Authority or the Authority staff's satisfaction, that the change is consistent with the purposes of the Act original Application, as approved by the Authority.

### **Audits**

The Bureau of State Audits or Authority staff may conduct periodic audits to ensure Grantees are using Grants consistently as approved. Recipients shall retain all program and financial data necessary to substantiate the purposes for which the Grant funds were spent for a period of three years or until June 30, 20XX, whichever is later after the certification of completion of the project has been submitted.

### **Internet and E-Mail Communications**

Additional copies of this application can be obtained at the following website: [www.treasurer.ca.gov](http://www.treasurer.ca.gov). Continue to check our website for future program updates.

## **Grant Application Submission**

### **Submission Directions**

In the order listed, applicants shall place the following information in a binder and submit one original and one copy of the entire application.

Submit to: California Educational Facilities Authority  
915 Capitol Mall, Suite 590  
Sacramento, CA 95814

#### TAB 1: ~~Grant Program Application Form~~General Information

Applicants must submit the following:

- ✓ Completed pages 1-8 of the application
- ~~—Include the last three years of audited financial statements.~~
- ✓ Any third-party data or other information requested in the appropriate application sections.
- ✓ Letters of support from “Qualified School” to be served.

#### TAB 2: Agency Finances

~~Applicant shall provide the most recent audited financial statement.~~ Include the last three years of audited financial statements.

#### TAB 3: Organizational Information

- ✓ Latest accreditation notification from the Western Association of Schools & Colleges (“WASC”) or the Committee of Bar Examiners of the State Bar or the American Bar Association (“Bar Examiners”).
- ✓ A copy of the applicant’s 501(c)(3) determination letter from the Internal Revenue Service and either the tax-exemption letter or the Letter of Good Standing from the Franchise Tax Board.
- ✓ A copy of the applicants Articles of Incorporation and Bylaws.

#### TAB 4: Legal Information

Applicants shall review and respond to the questions in Attachment A and disclose all relevant information in Attachment B. Both attachments must be included under Tab 4.

**TAB 5: Certifications**

The Agreement and Certification (Attachment C of application) must be executed by the Chief Executive Officer, Chief Financial Officer or other authorized officer of the applicant and included under Tab 5.

DRAFT

## II. Definitions

(a) “Academic Assistance” shall include, but is not limited to, ~~means~~ academic assistance and services to inform pupils attending qualified schools of the benefits of, and the requirements for, higher education. These services may include assisting students in developing career plans, making educational plans including plans for secondary school graduation and higher education, selecting appropriate courses to meet an educational plan, ~~and meeting or to meet academic requirements, or providing workshops or individualized assistance to help pupils attending a qualified school apply to and prepare for a range of public and nonpublic educational opportunities and includes assistance to help pupils prepare for college entrance examinations, obtain and complete college entrance applications or forms, and obtain and complete financial aid applications.~~

(b) “Academic Enrichment” shall include, but is not limited to, ~~means~~ any of the following services to provide skills and experiences to support the transition of pupils attending a qualified school to the college learning environment: assistance in academic subjects, such as reading, math, and science, study and test preparation skills, enrichment programs such as going to museums and lectures, college campus visits, on-campus summer programs and workshops on college life.

(c) “Act” means Article 9 (Commencing with Section 94215) of Chapter 2 of Part 59 of Division 10 of the Education Code.

(d) “Actual Expenditures for Program in Most Recent Year” means the total direct and indirect costs of the Program that were paid by the Applicant in the most recent fiscal-year.

(e) “Administrative Costs” means actual costs incurred by the Authority and other state agencies as permitted by law for administering the CEFA Academic Assistance Grant Program.

(f) “Allocation” means the amount of funds awarded to an Applicant by the Authority.

(g) “Applicant” means either one of the following:

- 1) An individual Private College that submits to the Authority an application for a grant award.

(2) Two or more eligible Private Colleges that have entered into an intercollege agreement for the purposes of the Act to offer grant eligible programs and that submit to the Authority an application for a grant award.

(h) “Application Form” means the request by an Applicant to the Authority for a Grant under the CEFA Academic Assistance Grant Program which includes pages 1- , Attachments A- and all materials submitted with Form # .

(i) “CEFA Academic Assistance Grant Program” means the program administered by the Authority to make grants pursuant to the Act.

~~(j) “College entrance preparation” means assistance with college entrance examinations.~~

(j) “Comprehensive School” [is a ‘Comprehensive High School’, as defined in California Code of Regulations, Title 2, Section 1859.2] means a high school that serves grades 7-12 or 9-12 that offers a variety of curricula, including common courses that emphasize academic achievement and traditional subjects that all students are required to take.

(k) “Grant Eligible Program” means a program for pupils attending a qualified school that informs the pupils of the benefits of, and the requirements for, higher education, prepares the pupils for college entrance, advances the academic standing of these pupils, or any combination thereof by providing an Academic Assistance program, an Academic Enrichment program, a Mentoring Assistance program, Guidance In College Admissions or any combination thereof.

(l) “Going Concern Qualification” means an assumption by an auditor that the carrying value of an entity’s assets will be realized and its liabilities will be liquidated in the ordinary course of continuing business activity.

(m) “Grant” means a grant awarded pursuant to the CEFA Academic Assistance Grant Program.

(n) “Grantee” means an Applicant that has received Grant approval by the Authority.

(o) “Grant Agreement” means a written agreement for a Grant entered into between a Grantee and the Authority.

~~(q) “Guidance In College Admissions” means workshops or individualized assistance to help pupils attending a qualified school apply and prepare for college entrance examinations, obtain and complete college entrance applications or forms, and obtain and complete financial aid applications.~~

(p) “Low income area” means an enrollment area for a high school with 30% or greater enrollment in the free or reduced fee program, as determined by the State Department of Education.

(q) “Low income student” means a student who is eligible under the reduced fee meal program, as determined by the California State Department of Education.

(r) “Matching Amount” means the amount equal to the grant Allocation that the Applicant has proposed expending on the Program from its own funds.

(s) “Maximum Grant” means \$250,000 per Applicant.

(t) “Mentoring Assistance” shall include, but is not limited to, means any program that provides guidance and support to students in academics and preparation for the transition from high school to college and college life.

(u) “Most Recent Audited Financial Statement” means a financial statement audited by an independent accounting firm for the most recent fiscal year-end prior to the Application Form submission date.

(v) “Private College” has the same meaning as in subdivision (i) of section 94110 of the Education Code.

~~(w) “Grant Eligible Program” means a program for pupils attending a qualified school that informs the pupils of the benefits of, and the requirements for, higher education, prepares the pupils for college entrance, advances the academic standing of these pupils, or any combination thereof by providing Academic Assistance, Academic Enrichment, Mentoring Assistance, Guidance In College Admissions or any combination thereof.~~

(w) “Program Funding Period” means a defined beginning and end date to be approved by the Authority for implementation of the Program by which time all program funds must be expended.

(x) “Proposed Allocation” means the proposed amount of funds to be awarded an Applicant in a Funding Round based on score and rank.

(y) “Qualified School” has the same meaning as in Section 94215.9 of the Education Code.

(z) “Total Grant Funds” means \$2 million less Administration Costs.

(aa) “Very low income area” means an enrollment area for a high school with 70% or greater enrollment in the free or reduced fee meal program, as determined by the State Department of Education.

(bb) “Very low income student” means a student who is eligible under the free meal program, as determined by the State Department of Education.



~~(a)“Academic Assistance” means academic assistance and services to inform pupils of the benefits of, and the requirements for, higher education. There services include assisting students in making educational plans, selecting appropriate courses, developing career plans, meeting academic requirements, and planning for graduation and further education~~

~~(b)“Academic Enrichment” means any of the following services to provide exposure to the skills and experiences that build a foundation to support the transition of a college bound student to the college learning experience: assistance in reading, study skills, or other academic areas, cultural enrichment programs (such as going to museums and lectures), college campus visits, on-campus summer programs focusing on coursework, test preparation programs, and workshops on college life.~~

~~(c)“Act” means Article 9 (Commencing with Section 94215) of Chapter 2 of Part 59 of Division 10 of the Education Code.~~

~~(d)“Actual Expenditures for Program in Most Recent Year” means the total direct and indirect costs of the Program that were paid by the Applicant in the most recent fiscal year.~~

~~(e)“Administrative Costs” means actual costs incurred by the Authority and other state agencies as permitted by law for administering the CEFA Academic Assistance Grant Program.~~

~~(f)“Allocation” means the amount of funds awarded to an Applicant by the Authority.~~

~~(g)“Applicant” means either one of the following:~~

~~(1) An individual Private College that submits to the Authority an application for a grant award.~~

~~(2) Two or more Private Colleges that have entered into an intercollege agreement for the purposes of the Act to offer programs that include Academic Assistance, Enrichment Program, Mentoring Program, or Guidance In College Admission and that submit to the Authority an application for a grant award.~~

~~(h)“Application Form” means the request by an Applicant to the Authority for a Grant under the CEFA Academic Assistance Grant Program which includes pages 1 \_\_, Attachments A \_\_\_\_ and all materials submitted with Form #\_\_\_\_\_.~~

~~(i)“Authority” or “CEFA” means the California Educational Facilities Authority.~~

~~(j)“CEFA Academic Assistance Grant Program” means the program administered by the Authority to make grants pursuant to the Act.~~

~~(k)“College entrance preparation” means assistance with college entrance examinations.~~

~~(l)“Comprehensive School” [is a ‘Comprehensive High School’, as defined in California Code of Regulations, Title 2, Section 1859.2] means a high school that serves grades 7-12 or 9-12 that offers a variety of curricula, including common courses that emphasize academic achievement and traditional subjects that all students are required to take.~~

~~(m)“Executive Director” means the Executive Director of the California Educational Facilities Authority.~~

~~(n)“Going Concern Qualification” means an assumption by an auditor that the carrying value of an entity’s assets will be realized and its liabilities will be liquidated in the ordinary course of continuing business activity.~~

~~(o)“Grant” means a grant awarded pursuant to the CEFA Academic Assistance Grant Program.~~

~~(p)“Grantee” means an Applicant that has received Grant approval by the Authority.~~

~~(q)“Grant Agreement” means a written agreement for a Grant entered into between a Grantee and the Authority.~~

~~(r)“Guidance In College Admissions” means workshops or individualized assistance to help participants complete college entrance and financial aid applications.~~

~~(s)“Low income area” means an enrollment area for a high school with 30% or greater enrollment in the free or reduced fee program, as determined by the California State Department of Education.~~

~~(t)“Low income student” means a student who is eligible under the reduced fee meal program, as determined by the California State Department of Education.~~

~~(u)“Matching Amount” means the amount equal to the grant Allocation that the Applicant has proposed expending on the Program from its own funds.~~

~~(v)“Maximum Grant” means \$250,000 per Applicant.~~

~~(w)“Mentoring Program” means any program that provides guidance and support to students in academics, preparation for college or transition from high school to college life.~~

~~(x)“Most Recent Audited Financial Statement” means a financial statement audited by an independent accounting firm for the most recent fiscal year-end prior to the Application Form submission date.~~

~~(y)“Private College” has the same meaning as in subdivision (i) of section 94110 of the Education Code.~~

~~(z)“Program” means a program that provides academic assistance and services to pupils attending a qualified school for the purposes specified in Section 94215.3 of the Education Code, that prepares the pupils for college entrance, that advances the academic standing of these pupils, or any combination thereof by providing Academic Assistance, Enrichment, Mentoring, Guidance In College Admissions or College Entrance Preparation.~~

~~(aa)“Program Funding Period” means a defined beginning and end date to be approved by the Authority for implementation of the Program by which time all program funds must be expended.~~

~~(bb)“Proposed Allocation” means the proposed amount of funds to be awarded an Applicant in a Funding Round based on score and rank.~~

~~(cc)“Qualified School” has the same meaning as in Section 94215.9 of the Education Code.~~

~~(dd)“Total Grant Funds” means \$2 million less Administration Costs.~~

~~(ee)“Very low income area” means an enrollment area for a high school with 70% or greater enrollment in the free or reduced fee program, as determined by the California State Department of Education.~~

~~(ff)“Very low income student” means a student who is eligible under the free meal program, as determined by the California State Department of Education.~~

~~(cc) NOTE: Authority Cited: Section 94216.9 of the Education Code.  
Reference: Section 94215.3 of the Education Code.~~